#### 2. Amendments to the Drawings:

A separate Transmittal of Formal Drawings is submitted, including a complete new set of drawings. These new drawings were corrected so that the figure identifications are all done in the same identical style throughout all of the drawings, rather than having two different figure identification styles on different sheets of drawings.

The formal drawing sheets submitted in connection with the above-identified application and containing Figures 2, 16, and 23 are presented on replacement formal drawing sheets that are submitted herewith as substitutes for the previously-submitted informal drawing sheets containing these same figures. Figures 2, 16, and 23 have each been amended.

Appendix A, appended to this response, presents annotated copies of the previously submitted drawing sheets containing these three Figures marked in red to show the changes that are presented in the replacement sheets of each drawing. Allowance of these changes is respectfully requested.

#### A. Changes Made to Figure 2

The specific change which has been made to Figure 2 is that the double-ended arrow connecting the two boxes 104 and 106 has been assigned the new reference number "323". The new reference number "323" is also being inserted into the text of paragraphs 81 and 100 by the present amendment. In the specification, as amended by this amendment, this double-ended arrow is now referred to as a "... wide area network 323".

These changes are submitted as part of applicants' response to the Examiner's objections to paragraph 81 of the specification, as is explained more fully in the remarks that follow.

#### B. Changes Made to Figure 16

The specific change which has been made to Figure 16 is that a reference number "1606" has been added to the box containing the text: "DEVELOP A MANAGEMENT SUMMARY

REPORT TEMPLATE THAT ...." This reference number "1606" is not new, but is referred to in paragraph 173, which reads in part:

... at step 1606, the expert then moves on to develop a management summary report template that ....

This change is responsive to the Examiner's objection to the lack of such a reference number in Figure 16.

#### C. Changes Made to Figure 23

The specific change which has been made to Figure 23 is that the relative positioning of the reference number 2210 and of the lead line that connects this reference number to the box labeled "ANALYZER IS EXECUTABLE OR ..." has been adjusted so that the reference number and lead line are closer together. This change is responsive to a specific requirement of the Examiner.



#### Atty. Dkt. No. 084061/0179 H/P No. 10015199-1

CERTIFICATE OF MAILINGING I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient

postage as First Class Mail in an envelope addressed to: Commissioner for Patents, PO Box 1450, Alexandria,

> (Date of Deposit) Christine Koziol

> > (Printed Name)

March 19, 2004

Virginia 22313-1450.

#### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:

Peter Van Giel, et al.

Title:

A METHOD AND SYSTEM

FOR AUDITING AN

**ENTERPRISE** 

CONFIGURATION

Appl. No.:

09/851,963

Filing Date:

05/10,2001

Examiner:

Bell Meltin

Art Unit:

2121

### SUBMISSION OF FORMAL DRAWINGS

Commissioner for Patents PO Box 1450 Alexandria, Virginia 22313-1450

ATTENTION: DRAWING REVIEW BRANCH

RECEIVED

MAR 2 5 2004

Technology Center 2100

Sir:

Transmitted herewith are the formal drawings (24 sheets, Figures 1-26) for the aboveidentified application. The Official Draftsperson is respectfully requested to approve these drawings for entry into the application.

Respectfully submitted,

Date March 19, 2004

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Michael D. Rechtin

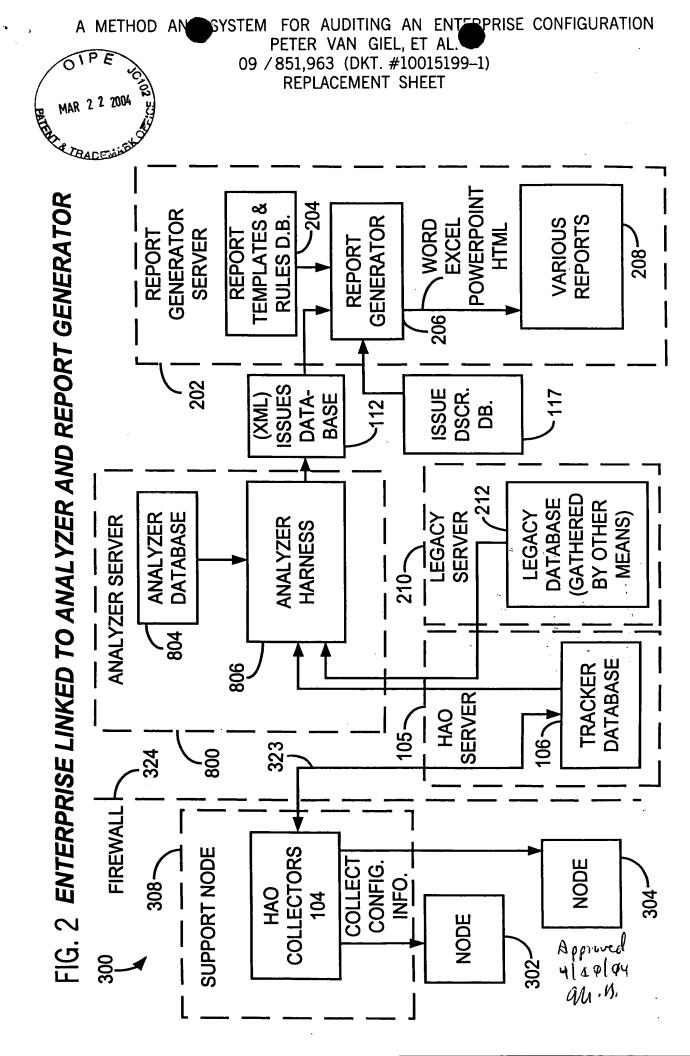
Attorney for Applicants

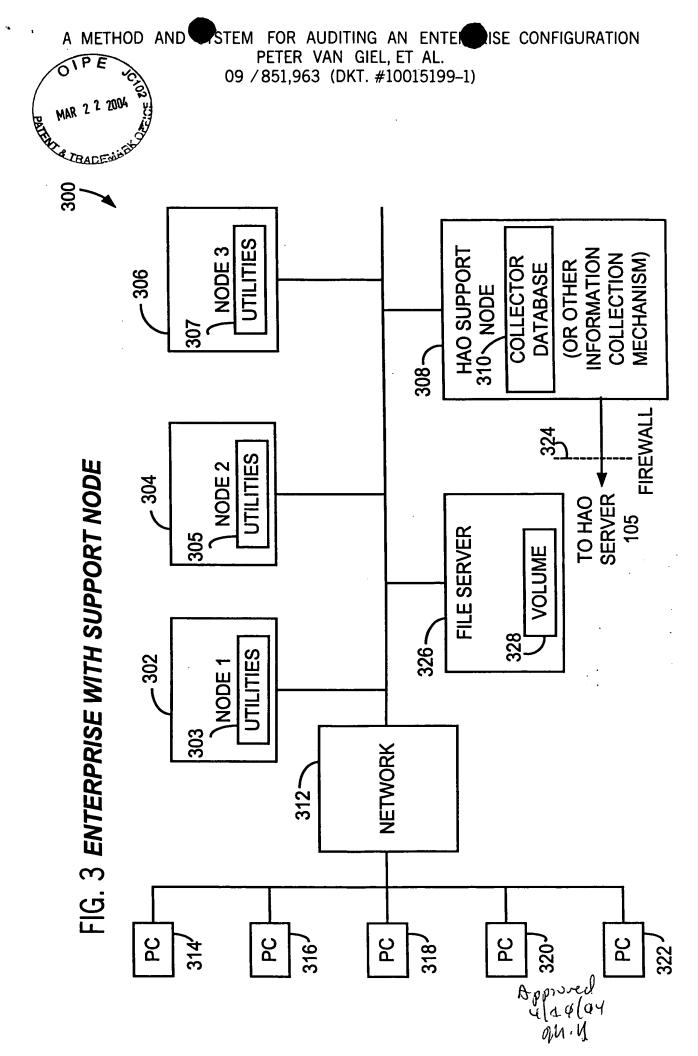
By Michael D. Kechter

Registration No. 30,128

qu. B.

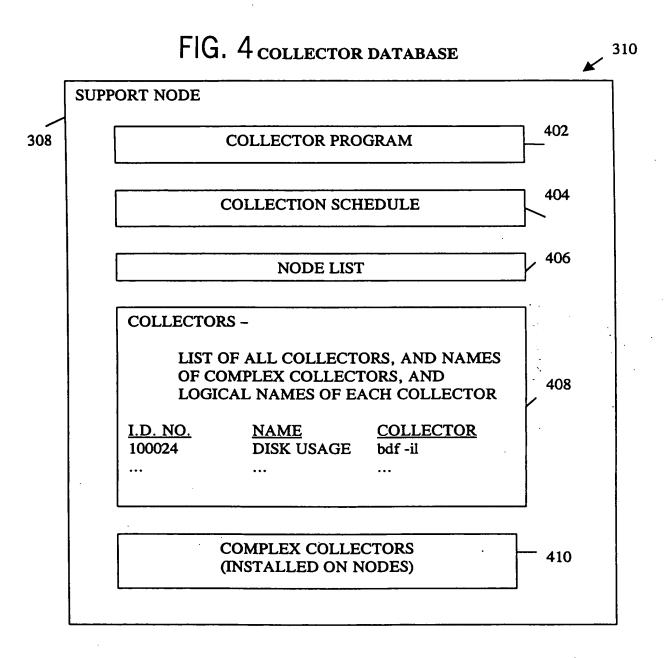
100 -





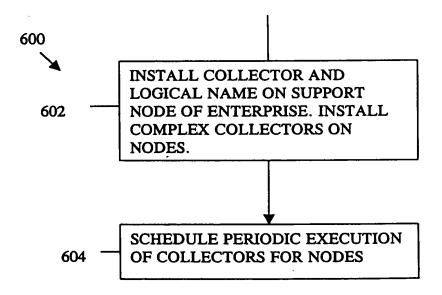
A METHOD AND SYSTEM FOR AUDITING AN ENTERPRISE CONFIGURATION
PETER VAN GIEL, ET AL.

OPE 09 /851,963 (DKT. #10015199-1)



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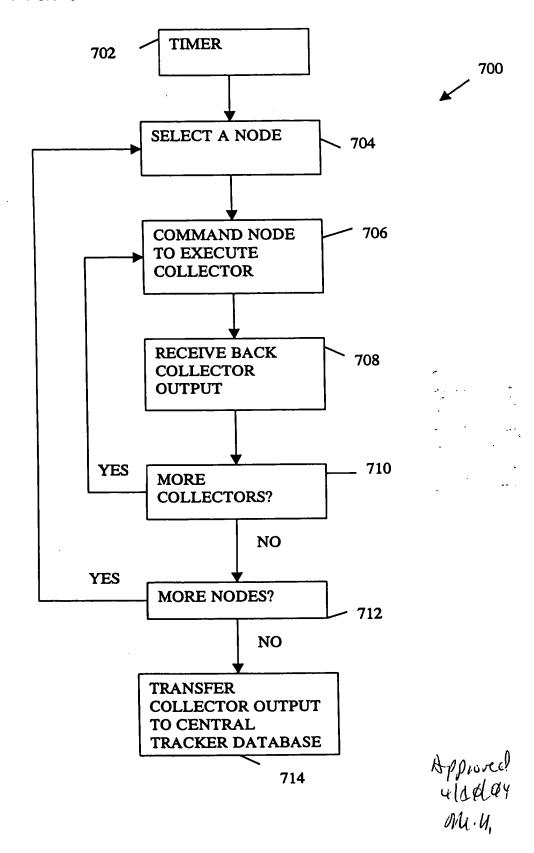
FIG. 6 COLLECTOR INSTALLATION ON ENTERPRISE



Approved 4/10/04 M.M.

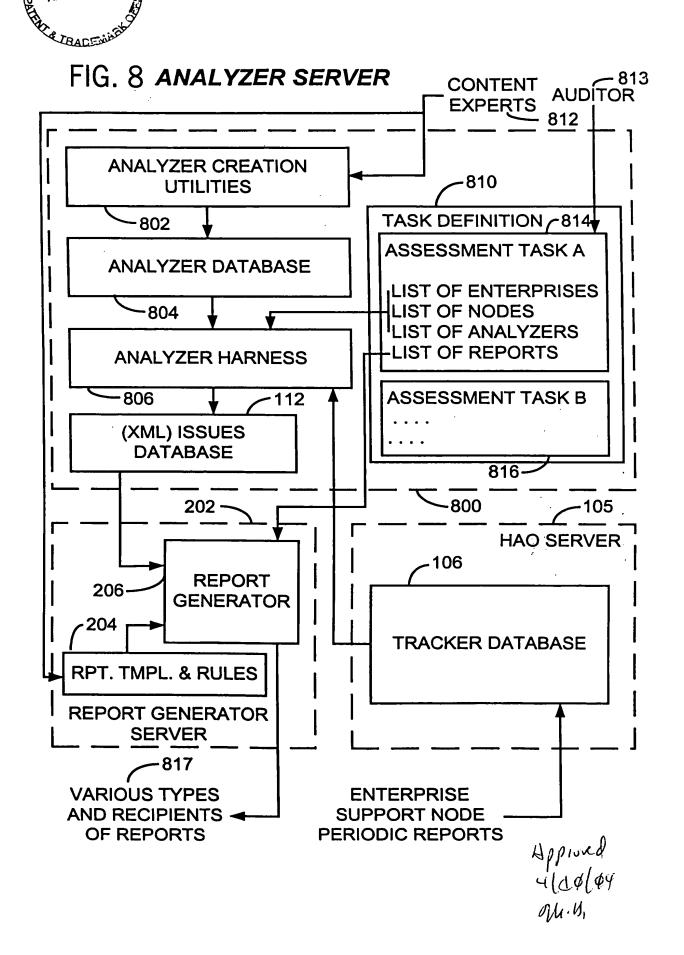


FIG. 7 ENTERPRISE COLLECTOR EXECUTION



SYSTEM FOR AUDITING AN ENTERPRISE CONFIGURATION PETER VAN GIEL, ET AL.

09 / 851,963 (DKT. #10015199-1)



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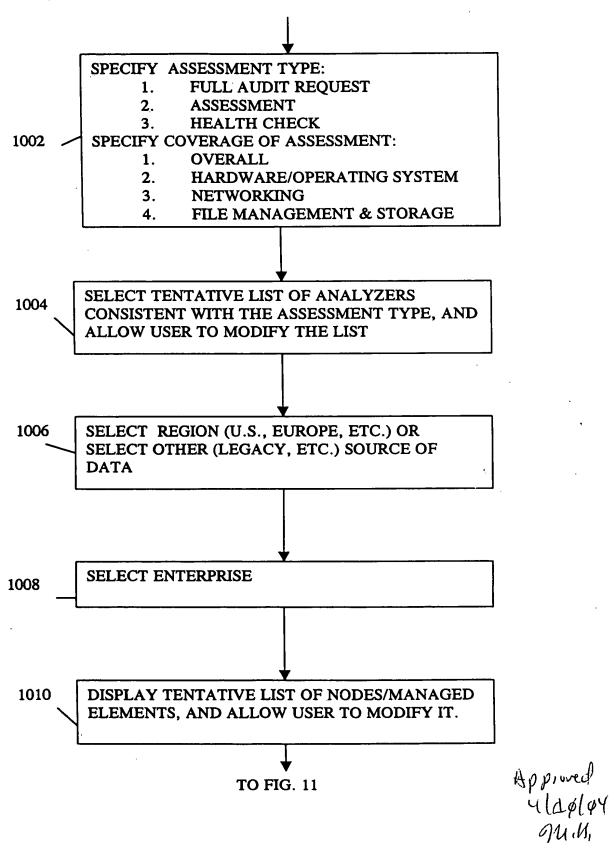
FIG. 9 TRACKER DATABASE

U.S. TRACKER DATABASE
ENTERPRISE A
NODE A
COLLECTOR A
DATA (TIME/DATE A)
DATA (TIME/DATE B)
...
COLLECTOR B
...
NODE B
...
ENTERPRISE B
NODE X ...
...
...

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## FIG. 10 TASK DEFINITION





## FIG. 11 REPORT DEFINITION

ENTER INFORMATION IDENTIFYING THE AUDITOR(S), INCLUDING ANY NECESSARY/DESIRED AUDITOR'S COMMENTS OR INSTRUCTIONS OR EXPLANATIONS

1014

1012

**SELECT TYPE OF REPORT:** 

MANAGEMENT SUMMARY TECHNICAL SUMMARY

TECHNICAL DETAILS

MARKETING REPORT

MANUFACTURER'S REPORT

SELECT REPORT FORMAT:

TEXT, PRESENTATION, HTML, ETC.

TABLES, GRAPHS, CHARTS, ETC.

SELECT TARGET FOR REPORTS

HUMANS, DATABASE, WORKFLOW SYSTEM,

HEALER/AUTO-REPAIR SYSTEM

1016

SELECT DELIVERY MECHANISM/RECIPIENT

PRINTED

E-MAIL

RECIPIENT LIST

NETWORK ADDRESS OF

DATABASES, WORKFLOW SYSTEMS,

SYSTEM HEALER

REPORT GENERATED

Sppwed 41 spl 44 M. 4

CREATE ONE OR MORE ANALYZER ISSUE TEMPLATES, WITH SPACEHOLDERS FOR VARIABLE INFORMATION, DEFINING CAPTION, DETAILED SUMMARY, MOTIVATION TO FIX, RECOMMENDED ACTION, CRITICALITY, AND ASSIGNING AN IDENTIFICATION NUMBER OR LABEL TO EACH TEMPLATE (APPENDIX D).

1208

1210 THIS AN

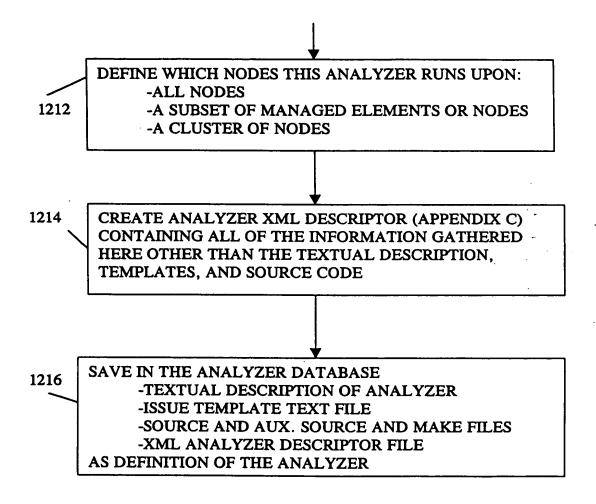
CREATE SOURCE CODE (WITH COMMENTS) FOR THIS ANALYZER (APPENDIX B). DESIGNATE SOURCE FILE, ANY AUXILIARY SOURCE FILE, ANY MAKE FILE, AND TEMPLATE TEXT FILE.

**TO FIG. 13** 

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## FIG. 13 analyzer creation (cont.)



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## A MEETOD AND STEM FOR AUDITING AN ENTERDISE CONFIGURATION PETER VAN GIEL, ET AL.

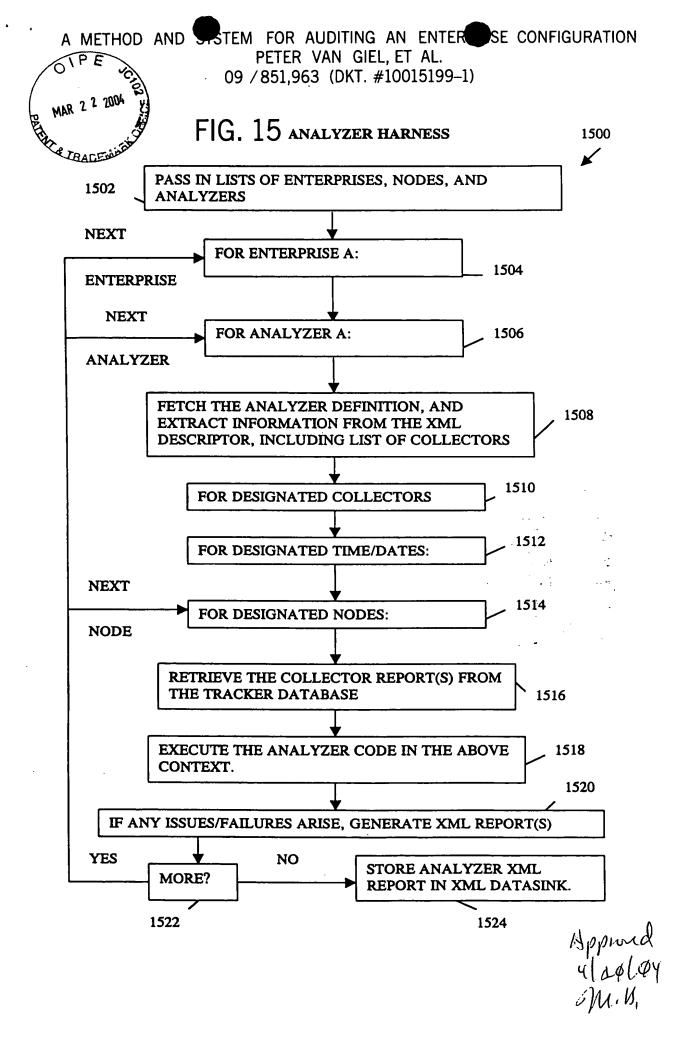
09 / 851,963 (DKT. #10015199-1)

G. 14 analyzer creation user interface

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**USER INTERFACE TOOLS** 1402 CREATE NEW, OR MODIFY/DELETE EXISTING **ANALYZERS** XML DESCRIPTOR CREATION UTILITY 1404 MANAGER OF ANALYZER ISSUE LOOKUP TABLES **RELATING ANALYZERS TO ISSUES** 1406 SOURCE CODE, AUX. SOURCE CODE, MAKE FILE MANAGER, AND ISSUETEMPLATE TEXT FILE MANAGER 1408 COLLECTOR SEARCH FACILITY SUPPORTING SEARCHING BY COMMAND OR BY LOGICAL NAME 1410 DEVELOPMENT ENVIRONMENT FOR TESTING ANALYZERS WITH LIVE SAMPLE INPUTS 1412 PRESENTING, IN TABULAR FORM, LISTS OF ANALYZERS AND COLLECTOR REPORTS, AND PERMITTING THEM TO BE LINKED, WITH AN ORDERED LIST OF COLLECTOR REPORTS LINKED TO EACH ANALYZER 1414 VIEW SAMPLE COLLECTOR REPORTS 1416 MANAGER OF ANALYZER LOGICAL GROUPING AND ITS ASSIGNMENT TO A PARTICULAR ASSESSMENT TYPE 1418

1400

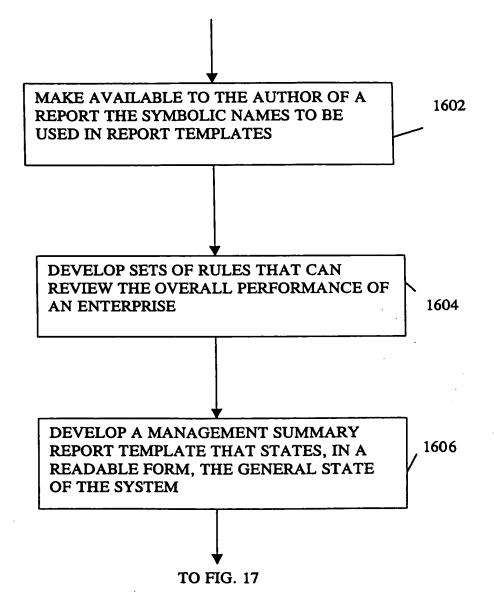


09 /851,963 (DKT. #10015199-1) REPLACEMENT SHEET



FIG. 16 REPORT TEMPLATE CREATION

1600



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FIG. 17

FROM FIG. 16

1608

DEVELOP A TECHNICAL
MANAGEMENT SUMMARY REPORT
THAT LISTS CRITICAL POINTS IN
SUMMARY FORM, STATES THEIR
DEGREE OF CRITICALITY, AND
PRESENTS EXPLANATIONS AND COST
ESTIMATES.

1610

DEVELOP A TECHNICAL DETAIL
TEMPLATE WHICH PRESENTS THE
SPECIFIC ISSUES FOR EACH OF THE
NODES OR GROUPS OF NODES.
INCLUDE ANY MOTIVATIONS TO FIX
EACH ISSUE, THE COST TO
IMPLEMENT CHANGES, THE DETAILS
OF EACH ISSUE, AND ANY
SUPPORTING TEXT OR SNIPPETS OF
THE COLLECTOR OUTPUT AS NEEDED
TO CLARIFY AN ISSUE.

**TO FIG. 18** 

Appnied 4114/94 M. M. FIG. 18

FROM FIG. 17

DEVELOP A VARIETY OF MASTER REPORT TEMPLATES INTENDED FOR DIFFERING AUDIENCES AND BUSINESS NEEDS INCLUDING VARYING COMBINATIONS OF THE ABOVE REPORTS AS WELL AS ADDITIONAL INTRODUCTORY AND EXPLANATORY INFORMATION TO PLACE THE REPORTS IN CONTEXT.

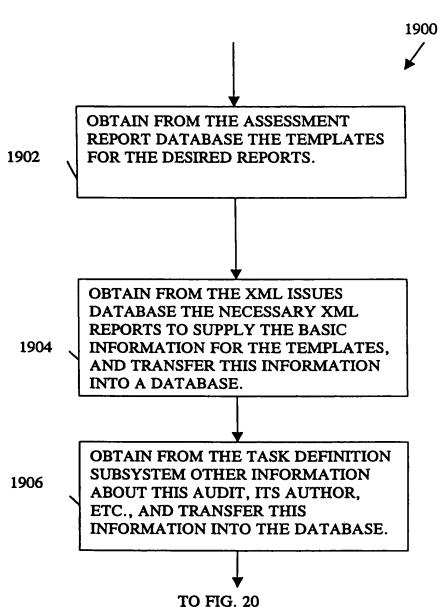
IN ADDITION, THE USER OF THE REPORT GENERATOR MY PRODUCE ANY REPORT THAT IS NECESSARY OR DESIRABLE, COMBINING THE AVAILABLE INFORMATION IN ANY WAY THAT MAKES SENSE, GIVEN THEIR NEEDS.

1612

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## FIG. 19 REPORT GENERATOR

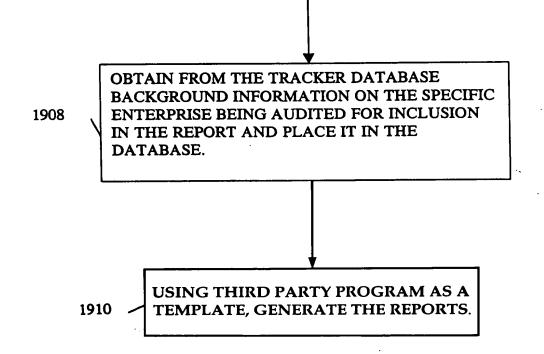


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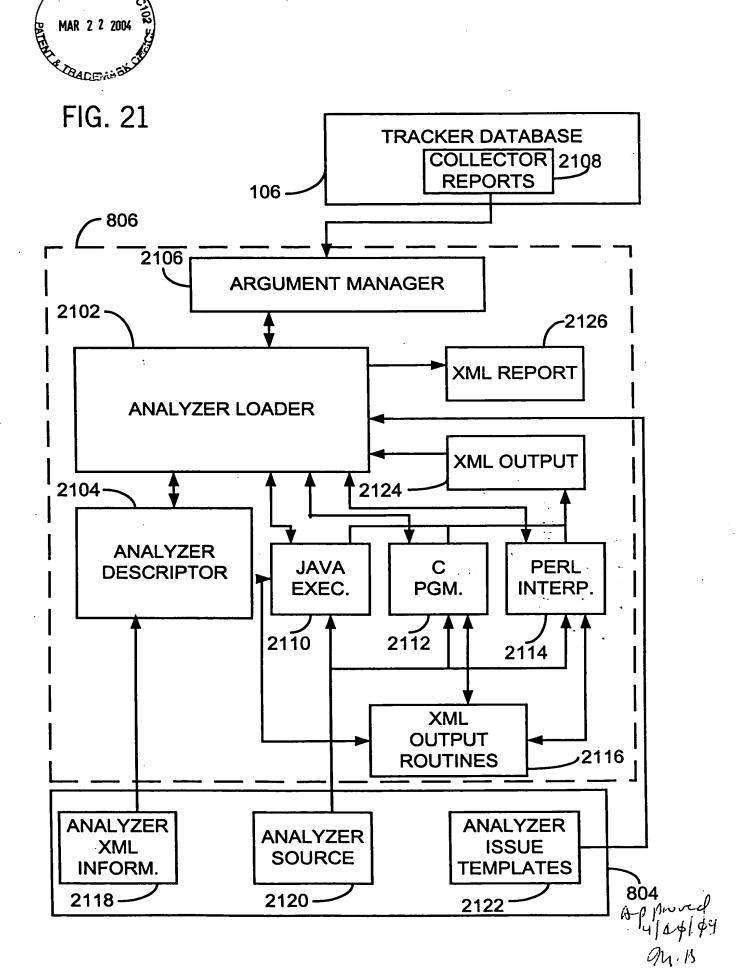


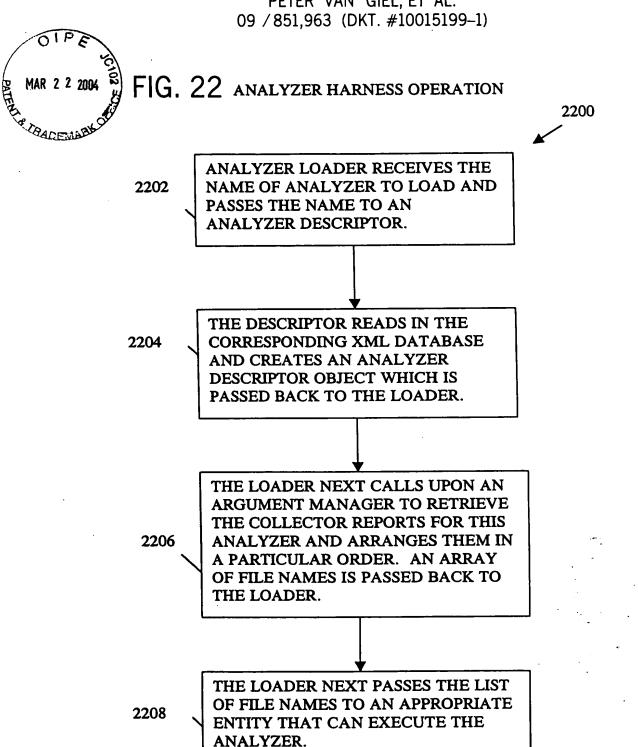
FIG. 20

FROM FIG. 19



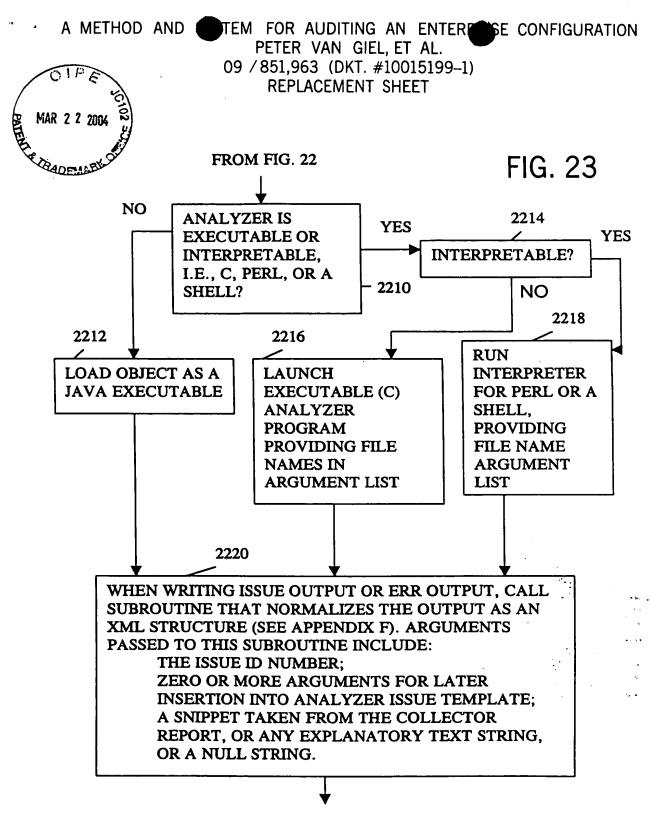
Approved 4 (16/44 94.4,





**TO FIG. 23** 

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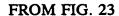


**TO FIG. 24** 

Approved 4/10/44 9M.M. 09 /851,963 (DKT. #10015199-1)



FIG. 24



2222

THE ISSUE LIST OR FAILURE LIST XML OUTPUT (SEE APPENDIX F, PART 1) IS CAPTURED AND RETURNED TO THE ANALYZER LOADER 2102, WHERE IT IS AUGMENTED WITH THE NODE NAME, ASSESSMENT TASK NAME, AND WITH ANALYZER ISSUE TEMPLATE TEXT (SEE APPENDIX D) WITH ANY VARIABLE SLOTS FILLED IN. IT IS THEN APPENDED TO THE ANALYZER XML REPORT 2126 (SEE APPENDIX F, PART 2).

2224 GO TO NEXT NODE

2226 GO TO NEXT ANALYZER

Approved 4/4/94 94.11,

# A METHOD AND YSTEM FOR AUDITING AN ENT RISE CONFIGURATION PETER VAN GIEL, ET AL. 09 / 851,963 (DKT. #10015199–1)

FIG. 25

2502

CONCEPTUAL ASSESSMENT XML HIERARCHY

ASSESSMENT TYPE

**OPERATING SYSTEM** 

**FILE SYSTEM** 

LOGICAL VOLUMES

FILE SYSTEM USAGE ANALYSIS

"DISK USAGE" XML DATA 2118

LOGICAL VOLUME MANAGEMENT

**HARDWARE** 

**MEMORY** 

**CPUs** 

**NETWORKING** 

. .

TASK DEFINITION

SPECIFY DESIRED ASSESSMENT
TYPE IN OUTLINE STRUCTURE
DEFINED BY XML HIERARCHY

PASS TO ANALYZER. HARNESS
LISTS OF ENTERPRISES AND
NODES AND XML TASK
DEFINITION

Approved
All Edley
M. M.